

ATTORNEY DOCKET NO.: 0341941-0031(HU 01431-97/BU 97-59)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jarrell et al.

Serial No.:

Filed: August 26, 1998

For: NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

VERIFIED STATEMENT (DECLARATION)
CLAIMING SMALL ENTITY STATUS
37 CFR 1.9(f) and 1.27(d)
NON-PROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the non-profit organization identified below:

NAME OF ORGANIZATION: President and Fellows of Harvard College

ADDRESS OF ORGANIZATION: 17 Quincy Street, Cambridge, MA 02138

TYPE OF ORGANIZATION:

- University or other organization of higher education
 Non-profit scientific or educational organization under a statute of a state of the United States of America

NAME OF STATE: _____
CITATION OF STATUTE: _____

- Would qualify as tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3) if the organization were located in the United States of America

- Tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3)).

- Would qualify as a non-profit scientific or educational organization under a statute of a state of the United States of America

NAME OF STATE: _____
CITATION OF STATUTE: _____

I hereby declare that the above-identified non-profit organization qualifies as a non-profit organization as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code.

MAR. 5. 2001 12:01PM

CHOATE HALL & STEWART 248-4000

NO. 8411 P. 10

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CHOATE HALL & STEWART 248-4000

NO. 489

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P.3

I hereby declare that rights under contract or law have been conveyed to and remain with the above-identified non-profit organization with regard to the invention titled:

TITLE: Novel Transcriptional Regulators and Uses Therefor
by:

INVENTOR(S): Kevin A. Jarrell, Samol Saha and Mark Ptashne
described in:

- () the specification filed herewith
(X) U.S. Patent Application Serial Number _____
 filed _____
() U.S. Patent Number _____
 issued _____

If the rights of the above-identified non-profit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor(s), who could not qualify as a small business concern under 37 CFR 1.9(d) or a non-profit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention, attesting to their status as small entities. (37 CFR 1.27).

FULL NAME: Trustees of Boston University
ADDRESS: 108 Bay State Road, Boston, MA 02215
() INDIVIDUAL () SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION

FULL NAME: _____
ADDRESS: _____
() INDIVIDUAL () SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION

FULL NAME: _____
ADDRESS: _____
() INDIVIDUAL () SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code,

MAR. 5. 2001 12:02PM

CHOATE HALL & STEWART 248-4000

NO. 8411 P. 11

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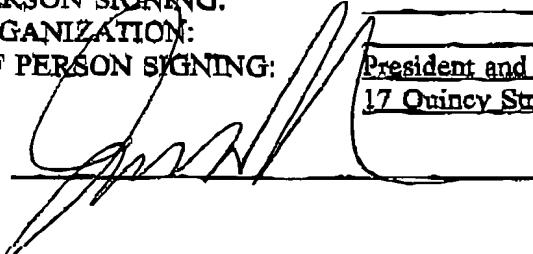
and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

TITLE IN ORGANIZATION:

ADDRESS OF PERSON SIGNING:

President and Fellows of Harvard College
17 Quincy Street, Cambridge, MA 02138

SIGNATURE: 
DS1.424761.1

DATE: 3/16/00

JOYCE BRANTON, DIRECTOR
OFFICE OF TECHNOLOGY & TRADEMARK LICENSING
HARVARD UNIVERSITY

ATTORNEY DOCKET NO.: 0341941-0031(HU 01431-97/BU 97-59)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jarrell et al.

Serial No.:

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For: NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

VERIFIED STATEMENT (DECLARATION)
CLAIMING SMALL ENTITY STATUS
37 CFR 1.9(f) and 1.27(d)
NON-PROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the non-profit organization identified below:

NAME OF ORGANIZATION: Trustees of Boston University

ADDRESS OF ORGANIZATION: 147 Bay State Road, Boston, MA 02215

TYPE OF ORGANIZATION:

- (X) University or other organization of higher education
- () Non-profit scientific or educational organization under a statute of a state of the United States of America
NAME OF STATE: _____
CITATION OF STATUTE: _____
- () Would qualify as tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3) if the organization were located in the United States of America
- () Tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3)).
- () Would qualify as a non-profit scientific or educational organization under a statute of a state of the United States of America
NAME OF STATE: _____
CITATION OF STATUTE: _____

I hereby declare that the above-identified non-profit organization qualifies as a non-profit organization as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code.

TITLE: Novel Transcriptional Regulators and Uses Therefor
by:

INVENTOR(S): Kevin A. Jarrell, Samol Saha and Mark Ptashne
described in:

- the specification filed herewith
 U.S. Patent Application Serial Number _____
 filed _____
 U.S. Patent Number _____
 issued _____

If the rights of the above-identified non-profit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor(s), who could not qualify as a small business concern under 37 CFR 1.9(d) or a non-profit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern, or organization having rights to the invention, averring to their status as small entities. (37 CFR 1.27).

FULL NAME: President and Fellows of Harvard College
ADDRESS: 17 Quincy Street, Cambridge, MA 02138
() INDIVIDUAL () SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION

FULL NAME: _____
ADDRESS: _____
() INDIVIDUAL () SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION

FULL NAME: _____
ADDRESS: _____
() INDIVIDUAL () SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

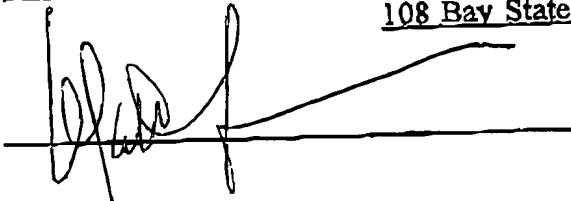
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CHOATE HALL & STEWART 248-4000
CHOATE HALL & STEWART 248-4000

NO. NO. 8411 P.P. 14

NAME OF PERSON SIGNING:
TITLE IN ORGANIZATION:
ADDRESS OF PERSON SIGNING:

Matthew J. Burns
Assistant Treasurer
Trustees of Boston University
108 Bay State Road, Boston, MA 02215

SIGNATURE: 
DS1.425307.1

DATE: 3/16/00

MATTHEW J. BURNS
ASSISTANT TREASURER
BOSTON UNIVERSITY

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

the specification of which (I authorize Choate, Hall & Stewart to check one of the following, three choices, and fill in the blanks, if applicable):

is attached hereto

— was filed on _____ as Application
Serial No. _____ and amended on _____ (if applicable).

X was filed as PCT international application No. PCT/US98/17691 on August 26, 1998 and was amended under PCT Article 19 on _____ (if applicable).

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledged the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s): Priority Claimed

(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America

listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.) (filing date) (status-patented, pending, abandoned)

PCT Applications designating the United States:

(PCT Appl. No.) (U.S.S.N.) (status-patented, pending, abandoned)

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national filing date of this application.

Provisional Application(s):

<u>60/056,857</u>	<u>August 27, 1997</u>	<u>pending</u>
Application Number	Filing Date	Status

Application Number	Filing Date	Status
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United State Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full name of first inventor: Kevin A. Jarrell

Inventor's signature: _____ Date: _____

Residence: 3 Acorn Lane, Lincoln, MA 01773

Citizenship: U.S.A.

Post Office Address: same

Full name of second inventor: Samol Saha

Inventor's signature: _____ Date: _____

Residence: 24 Sunset Road, Arlington, MA 02474

Citizenship: U.S.A.

Post Office Address: Same

Full name of third inventor: Mark Prashne

Inventor's signature: Mark Prashne Date: _____

Residence: 1075 Park Avenue, New York, NY 10120

Citizenship: U.S.A.

Post Office Address: Same

DS1.424744.1

MAR. 5. 2001 12:03PM

CHOATE HALL & STEWART 248-4000

NO. 8411 P. 18

MAR-17-00 FRI 01:56 PM DR. [REDACTED] & FARB LAB. FAX NO. 617
MAR. 16. 2000 11:29AM

P. 02

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

the specification of which (I authorize Choate, Hall & Stewart to check one of the following three choices, and fill in the blanks, if applicable):

 is attached hereto

 was filed on as Application
Serial No. and amended on (if applicable).

X was filed as PCT international application No. PCT/US98/17691
on August 26, 1998 and was amended under PCT Article 19
on (if applicable).

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledged the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s):

Priority Claimed

(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
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(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
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I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT International application(s) designating the United States of America

MAR. 5. 2001 12:03PM

CHOATE HALL & STEWART 248-4000

NO. 8411 P. 19

MAR-17-00 FRI 01:57 PM DR [REDACTED] & FARB LAB.

FAX NO. 617 [REDACTED]

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list below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

(Application Serial No.) (filing date) (status-patented, pending, abandoned)

PCT Applications designating the United States:

(PCT Appl. No.) (U.S.S.N.) (status-patented, pending, abandoned)

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national filing date of this application.

Provisional Application(s):

60/056,857	August 27, 1997	pending
Application Number	Filing Date	Status
Application Number	Filing Date	Status

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patents issued thereon.

Full name of first inventor: Kevin A. Jawell

Inventor's signature: Kevin A. Jawell Date: 3/16/00

Residence: 3 Acorn Lane, Lincoln, MA 01773

Citizenship: U.S.A.

Post Office Address: same

MAR. 5. 2001 12:03PM

CHOATE HALL & STEWART 248-4000

NO. 8411 P. 20

MAR-17-00 FRI 01:57 PM DR [REDACTED] & FARB LAB

FAX NO. 617 [REDACTED]

P. 04

Full name of second inventor: Samol Salia

Date: _____

Inventor's signature: _____

Residence: 24 Sunset Road, Arlington, MA 02474

Citizenship: Swedish

Post Office Address: same

Full name of third inventor: Mark Ptashne

Date: _____

Inventor's signature: _____

Residence: 1075 Park Avenue, New York, NY 10120

Citizenship: U.S.A.

Post Office Address: same

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

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the specification of which (I authorize Choate, Hall & Stewart to check one of the following three choices, and fill in the blanks, if applicable):

 is attached hereto

 was filed on _____ as Application
Serial No. _____ and amended on _____ (if applicable).

X was filed as PCT international application No. PCT/US98/17691
on August 26, 1998 and was amended under PCT Article 19
on _____ (if applicable).

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Priority Claimed

(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
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(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
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(Application Serial No.) (filing date) (status-patented, pending, abandoned)

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(PCT Appl. No.) (U.S.S.N.) (status-patented, pending, abandoned)

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Provisional Application(s):

60/056,857 August 27, 1997 Pending
Application Number Filing Date Status

Application Number Filing Date Status

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Full name of first inventor: Kevin A. Jarrell

Inventor's signature: _____ Date: _____

Residence: 3 Acorn Lane, Lincoln, MA 01773

Citizenship: U.S.A.

Post Office Address: same

MAR. 5. 2001 12:03PM

CHOATE HALL & STEWART 248-4000

NO. 6 NO. 84115 P. 23

Full name of second inventor: Samol Saha

Inventor's signature: S. Saha Date: 08-24-98

Residence: USA

Citizenship: SWEDISH

Post Office Address: 24 SUNSET Rd. ARLINGTON, MA 02474

Full name of third inventor: Mark Ptashne

Inventor's signature: _____ Date: _____

Residence: 1075 Park Avenue, New York, NY 10120

Citizenship: U.S.A.

Post Office Address: Same

DS1.424744.1